

**COPY**

Docket No. 10R9-2000-0304 (1963-5006)

**THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): David P. Greene et al.

Group Art Unit: 2164

Serial No.: 09/748,888

Examiner:

Filed: 12/27/2000

For: SYSTEM AND METHOD FOR "SWAPS" STYLE RISK PRODUCTS BASED ON  
NETWORK ENABLED AGGREGATION

RECEIVED  
AUG 15 2001  
Technology Center 2100

**REQUEST FOR CORRECTED OFFICIAL FILING RECEIPT**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

A corrected filing receipt is hereby requested in view of the errors which appear in the original. For the convenience of the Patent and Trademark Office, attached is a photocopy of the original receipt on which the errors have been highlighted. Specifically, the Filing Date on the latest UPDATED FILING RECEIPT is incorrectly listed as 03/12/2001, instead it should be **12/27/2000**.

- ☒ PTO ERROR: As the error was made by the Patent and Trademark Office, it is believed that no fee is due. However please credit or debit Deposit Account No. 13-4500, Order No. 1963-5006 as necessary to effect entry of the attached corrections.
- ☐ APPLICANT'S ERROR: In accordance with the provisions of Rule 1.19(h), please charge the requisite fee of \$25.00 to Deposit Account No. 13-4500, Order No. \_\_\_\_.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required by this paper, or credit any overpayment to Deposit Account No. 13-4500, Order No. 1963-5006. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: June 25, 2001

By: 

Mark J. Abate  
Registration No. 32,527

Correspondence Address:

MORGAN & FINNEGAN, L.L.P.  
345 Park Avenue  
New York, NY 10154-0053  
(212) 758-4800 Telephone  
(212) 751-6849 Facsimile



## UNITED STATES PATENT AND TRADEMARK OFFICE

FILE COPY

 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov


Bib Data Sheet

CONFIRMATION NO. 5706

<b>SERIAL NUMBER</b> 09/748,888	<b>FILING DATE</b> 12/27/2000 <b>RULE</b>	<b>CLASS</b> 705	<b>GROUP ART UNIT</b> 2161	<b>ATTORNEY DOCKET NO.</b> YOR9-2000-0304 (1963-5006)
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## APPLICANTS

David P. Greene, Ossining, NY;  
 Stephen J. Boies, Mahopac, NY;  
 Samuel Dinkin, Austin, TX;  
 Paul Andrew Moskowitz, Yorktown Heights, NY;  
 Philip Shi-Lung Yu, Chappaqua, NY;

\*\* CONTINUING DATA \*\*\*\*\*

\*\* FOREIGN APPLICATIONS \*\*\*\*\*

## IF REQUIRED, FOREIGN FILING LICENSE GRANTED

\*\* 02/09/2001

Foreign Priority claimed 35 USC 119 (a-d) conditions met	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance	<b>STATE OR COUNTRY</b> NY	<b>SHEETS DRAWING</b> 11	<b>TOTAL CLAIMS</b> 27	<b>INDEPENDENT CLAIMS</b> 3
Verified and Acknowledged	Examiner's Signature _____ Initials _____				

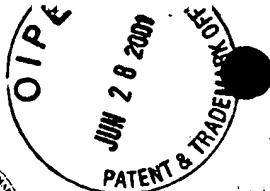
## ADDRESS

Morgan & Finnegan, L.L.P.  
 345 Park Avenue  
 New York, NY 10154

## TITLE

System and method for "swaps" style risk products based on network enabled aggregation

<b>FILING FEE RECEIVED</b> 966	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees
		<input type="checkbox"/> 1.16 Fees ( Filing )
		<input type="checkbox"/> 1.17 Fees ( Processing Ext. of time )
		<input type="checkbox"/> 1.18 Fees ( Issue )
		<input type="checkbox"/> Other _____
		<input type="checkbox"/> Credit



## UNITED STATES PATENT AND TRADEMARK OFFICE

JUN 25 P 2:45

 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART. UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/748,888	03/12/2001 12/27/2000	2164	966	YOR9-2000- 0304 (1963- 5006	11	27	3

 Morgan & Finnegan, L.L.P.  
 345 Park Avenue  
 New York, NY 10154

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 AUG 15 2001  
 Technology Center 2100

CONFIRMATION NO. 5706

UPDATED FILING RECEIPT



\*OC00000006079930\*

Date Mailed: 05/16/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

 David P. Greene, Ossining, NY;  
 Stephen J. Boies, Mahopac, NY;  
 Samuel Dinkin, Austin, TX;  
 Paul Andrew Moskowitz, Yorktown Heights, NY;  
 Philip Shi-Lung Yu, Chappaqua, NY;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 02/09/2001

Projected Publication Date: 09/12/2002

Non-Publication Request: No

Early Publication Request: No

 CASE 1963-5006 ATTY BM  
 INFORMATION DISCLOSURE  
 STATEMENT \_\_\_\_\_  
 FOREIGN FILING \_\_\_\_\_  
 CONVENTION DATE EXPIRES \_\_\_\_\_

## Title

System and method for "swaps" style risk products based on network enabled aggregation

**Preliminary Class**  
**705**

**Data entry by : SALEEKUL, SIRILUCK**

**Team : OIPE**

**Date: 05/16/2001**



**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED; FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

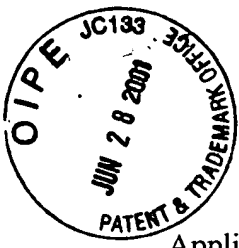
No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED; FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231



Receipt.

Docket No. YOR9-2000-0304 (1963-5006)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): David P. Greene et al.

Group Art Unit: 2164

Serial No.: 09/748,888

Examiner:

Filed: 12/27/2000

For: SYSTEM AND METHOD FOR "SWAPS STYLE RISK PRODUCTS BASED ON NETWORK ENABLE AGGREGATION.

**CERTIFICATE OF MAILING (37 C.F.R. §1.8(a))**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

I hereby certify that the attached:

1. Request For Corrected Official Filing Receipt (in duplicate);
2. Copy of Updated Filing Receipt dated 5/16/2001 with changes noted thereon in red;
3. Copy of the postcard mailed December 27, 2000 for filing the Utility Application with the U.S. PTO stamped serial number and date filed of 12/27/00; and
4. This Return Receipt Postcard.

(along with any paper(s) referred to as being attached or enclosed) and this Certificate of Mailing are being deposited with the United States Postal Service on date shown below with sufficient postage as first-class mail in an envelope addressed to the: Commissioner for Patents, Washington, D.C., 20231.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: June 25, 2001

By: 

Mark J. Abate  
Registration No. 32,527

**Correspondence Address:**

MORGAN & FINNEGAN, L.L.P.  
345 Park Avenue  
New York, NY 10154-0053  
(212) 758-4800 Telephone  
(212) 751-6849 Facsimile

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Technology Center 2100



PATENT

Docket No. YOR9-2000-0304 (1963-5006)

Express Mail Label No. EL 762529295 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

UTILITY APPLICATION AND FEE TRANSMITTAL (1.53(b))

COMMISSIONER OF PATENTS

Box Patent Application

Washington, D.C. 20231

Sir:

Transmitted herewith for filing is the patent application of

All Inventors

including Address(es): David P. Greene,; Stephen J. Boies; Sam Dinkin; Paul Andrew Moskowitz; and  
Philip Shi-Lung Yu;

For: **SYSTEM AND METHOD FOR "SWAPS" STYLE RISK PRODUCTS BASED ON NETWORK  
ENABLED AGGREGATION**

Enclosed are

☐ 20 page(s) of specification, 1 page(s) of Abstract, 8 page(s) of claims

☐ 11 sheets of drawing (Figs 1, 2a-2g, 3a-3c) ☒ formal ☐ informal (as originally filed in the parent application)

☒ 3 page(s) of Declaration and Power of Attorney

☒ Unsigned

☐ Newly Executed

☐ Copy from prior application

☐ Deletion of inventors including Signed Statement under 37 C.F.R. § 1.63(d)(2)

☐ Incorporation by Reference: The entire disclosure of the prior application, from which a copy of the combined declaration and power of attorney is supplied herein, is considered as being part of the disclosure of the accompanying application and is incorporated herein by reference.

☐ Microfiche Computer Program (Appendix)

☐      page(s) of Sequence Listing

☐ computer readable disk containing Sequence Listing

☐ Statement under 37 C.F.R. § 1.821(f) that computer and paper copies of the Sequence Listing are the same

☐ Assignment Papers (assignment cover sheet and assignment documents)

☐ Charge Fee(s) \$40.00 for recording the Assignment to Deposit Account No. 13-4500 Order No. 1963-5006. A DUPLICATE COPY OF THIS SHEET IS ATTACHED

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Express Mail Label No EL 762529295 US

- ☐ Assignment papers filed in parent application Serial No. \_\_\_\_\_.
- ☐ Certification of chain of title pursuant to 37 C.F.R. § 3.73(b).
- ☐ Foreign priority is claimed under 35 U.S.C. § 119 from \_\_\_\_\_ Patent Application(s) No. \_\_\_\_\_ dated \_\_\_\_\_.
- ☐ Priority document(s) will be submitted at a later date.
- ☐ Priority document(s) is/are submitted herewith.
- ☐ Information Disclosure Statement
- ☐ Copy of \_\_\_\_\_ cited references
- ☐ Preliminary Amendment
- ☒ Return receipt postcard (MPEP 503)
- ☐ This is a ☐ continuation ☐ divisional ☐ continuation-in-part (C-I-P) of prior application serial no. \_\_\_\_\_.
- ☐ Cancel in this application original claims \_\_\_\_\_ of the parent application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)
- ☐ A preliminary Amendment is enclosed. (Claims added by this Amendment have been properly numbered consecutively beginning with the number following the highest numbered original claim in the prior application.
- ☐ The status of the parent application is as follows:
- ☐ A Petition For Extension of Time and a Fee therefor has been or is being filed in the parent application to extend the term for action in the parent application until \_\_\_\_\_.
- ☐ A copy of the Petition for Extension of Time in the co-pending parent application is attached.
- ☐ No Petition For Extension of Time and Fee therefor are necessary in the co-pending parent application.
- ☐ Please abandon the parent application at a time while the parent application is pending or at a time when the petition for extension of time in that application is granted and while this application is pending has been granted a filing date, so as to make this application co-pending.
- ☐ Transfer the drawing(s) from the patent application to this application.
- ☐ Amend the specification by inserting before the first line the sentence:  
This is a ☐ continuation ☐ divisional ☐ continuation-in-part of co-pending application Serial No. \_\_\_\_\_ filed \_\_\_\_\_.

I. CALCULATION OF APPLICATION FEE

1. CALCULATION OF APPLICATION FEE						Basic Fee
	Number Filed	Number Extra		Rate		\$690.00
Total Claims	27	-20=	7	x	\$18.00	\$ 126.00
Independent Claims	3	-3=	0	x	\$0.00	\$ 0.00
Multiple Dependent Claims						
	<input type="checkbox"/> yes	Additional fee	=	\$260.00	\$	\$ -0-
	<input checked="" type="checkbox"/> no	Additional fee	=	NONE		
Total:						\$ 816.00

- [ ] A statement claiming small entity status is attached or has been filed in the above-identified parent application and its benefit under 37 C.F.R. § 1.28(a) is hereby claimed. Reduced fees under 37 C.F.R. § 1.9(F) (50% of total) paid herewith \$ \_\_\_\_\_.
- [X] A check in the amount of \$816.00 in payment of the application filing fees is attached.
- [ ] Charge Fee(s) to Deposit Account No. 13-4500 Order No. \_\_\_\_\_. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
- [X] The Commissioner is hereby authorized to charge any additional fees which may be required for filing this application, or credit any overpayment to Deposit Account No. 13-4500, Order No. 1963-5006. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,

MORGAN &amp; FINNEGAN, L.L.P.

Dated: December 27, 2000

By: Robert M. Pollaro  
Registration No. 45,019

## CORRESPONDENCE ADDRESS:

Morgan & Finnegan L.L.P.  
345 Park Avenue  
New York, New York 10154  
(212) 415-8723 Telephone  
(212) 751-6849 Facsimile



**PATENT**

IBM Docket No. YOR9-2000-0304 (1963-5006)

Express Mail Label No. EL 762529295 US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): David P. Greene  
Stephen J. Boies  
Samuel Dinkin  
Paul A. Moskowitz  
Philip S. Yu

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Technology Center 2100

Serial No.: To Be Assigned

Filed: Herewith

For: **SYSTEM AND METHOD FOR "SWAPS" STYLE RISK PRODUCTS  
BASED ON NETWORK ENABLED AGGREGATION**

**EXPRESS MAIL CERTIFICATE**

Express Mail Label No. EL 762529295 US

Date of Deposit: December 27, 2000

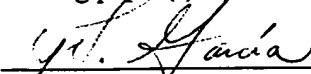
I hereby certify that the following attached paper(s) and/or fee

1. Utility Application and Application Fee Transmittal (in duplicate) (3 sheets);
2. Specification (20 pages), claims 1-27 (8 pages), abstract (1 page), 11 sheets of drawings (FIGS. 1, 2a-2g, 3a-3c);
3. Declaration And Power Of Attorney For Patent Application (3 sheets unexecuted); and
4. Return postcard.

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Commissioner Of Patents, BOX PATENT APPLICATION, Washington, D.C. 20231.

F. Garcia

(Typed or printed name of person  
mailing paper(s) and/or fee)

  
(Signature of person mailing  
paper(s) and/or fee)

**CORRESPONDENCE ADDRESS:**  
**MORGAN & FINNEGAN, L.L.P.**  
345 Park Avenue  
New York, New York 10154  
(212) 758-4800/(212) 751-6849 Facsimile



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(1963-5006)

Case No. YOR9-2000-0304 Serial No. TBA

Date Mailed December 27, 2000 ATTY MJA

Date Due in the Patent Office                     

The return of this post card, properly stamped, will acknowledge receipt in the Patent & Trademark Office of the following:

1. Utility Application and Application Fee Transmittal (in duplicate) (3 sheets);
2. Specification (20 pages), claims 1-27 (8 pages), abstract (1 page), 11 sheets of drawings (FIGS. 1, 2a-2g, 3a-3c);
3. Declaration And Power Of Attorney For Patent Application (3 sheets unexecuted); and
4. Certificate of Mailing.

531 U.S. PTO  
09/748888  
12/27/00